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JC18 Rec'd PCT/PTO 1:3 DEC /200 FORM PTO-1390 PARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE (REV 11-2000) 3573-11 TRANSMITTAL LETTER TO THE UNITED STATES LLC ADDITION NO (II Isnaur con 27 C E D 1 E $\begin{pmatrix} 0 & 0 & 9 & 4 & 9 & 7 \\ 0 & 0 & 9 & 4 & 9 & 7 \end{pmatrix}$ DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371 INTERNATIONAL APPLICATION NO INTERNATIONAL FILING DATE PRIORITY DATE CLAIMED PCT/IB00/00786 13 June 2000 14 June 1999 TITLE OF INVENTION SYSTEM OF DIGITAL PHASE AND AMPLITUDE MODULATION (PSK/ASK) APPLICANT(S) FOR DO/FO/US MARIOTTI et al Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information: This is a FIRST submission of items concerning a filing under 35 U.S.C. 371. 2 This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371. 3 This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below. The U.S. has been elected by the expiration of 19 months from the priority date (Article 31). 4 A copy of the International Application as filed (35 U.S.C. 371(c)(2)). is attached hereto (required only if not communicated by the International Bureau). has been communicated by the International Bureau. b. is not required, as the application was filed in the United States Receiving Office (RO/US). _ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)). П is attached hereto. а has been previously submitted under 35 U.S.C. 154(d)(4). 4h Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) 7. П are attached hereto (required only if not communicated by the International Bureau). h. have been communicated by the International Bureau. have not been made; however, the time limit for making such amendments has NOT expired. c А have not been made and will not be made. An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). ۵ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). 10. A English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)). Items 11 To 20 below concern document(s) or information included; An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98. An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. 3.28 and 3.31 is included. 12. \Box 13. X A FIRST preliminary amendment. 14 A SECOND or SUBSEQUENT preliminary amendment. 15. A substitute specification. A change of power of attorney and/or address letter. 16 П A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821-1.825. 17. A second copy of the published international application under 35 U.S.C. 154(d)(4). 18 19. A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).

Other items or information. PTO-1449 and International Search Report

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U.S. APPLICATION NO (If kee	med 9 4 5	7		INTERNATIONAL APPLICAT PCT/IB00/00786	ON NO		ATTORNEY'S DOCKET NUMBER 3573-11				
21. N The following fees are submitted:								ALCULATIONS	PTO	USE ONLY	
BASIC NATIONAL F											
Neither international preliminary examination fee (37 C.F.R. 1.482)											
nor international search fee (37 C.F.R. 1.445(a)(2)) paid to USPTO											
and International Search Report not prepared by the EPO or JPO\$1040.00											
and international Search Report not prepared by the EPO of 3PO							l				
International preliminary examination fee (37 C.F.R. 1.482) not paid to USPTO											
but international search fee (37 C.F.R. 1.445(a)(2)) paid to USPTO							l				
but all claims did not satisfy provisions of PCT Article 33(1)-(4)\$710.00							l				
International preliminary examination fee (37 C.F.R. 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4)\$100.00							L				
ENTER APPROPRIATE BASIC FEE AMOUNT =							\$	890.00			
Surcharge of \$130.00 for furnishing the oath or declaration later than 20 30 months from the earliest claimed priority date (37 C.F.R. 1.492(e)).							\$	\$ 130.00			
CLAIMS	NUMBE	R FILE	5 T	NUMBER EXTRA	F	ATE					
Total Claims	4		20 =	0	Х	\$18.00	\$	0.00			
Independent Claims	1 1		-3 =	0	X	\$84.00		0.00			
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are reduced by 1/2							L	0.00			
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months from the earliest	cialmed prior	nty date	(3/ (r.r.n. 1.492(I)).	OTAL NAT	IONAL FEE =	\$	1020.00	\vdash		
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accompanied by an app	opriate cove	r sheet	(37 C.	F.R. 3.28, 3.31). \$40.00	er propert	/ +	\$	0.00	_		
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a. A check in the amount of \$1020.00 to cover the above fees is enclosed. b. Please charge my Deposit Account No. 14-1140 in the amount of \$ to cover the above fees. A duplicate copy of this form is enclosed. c. The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 14-1140. A duplicate copy of this form is enclosed. The entire content of the foreign application(s), referred to in this application is/are hereby incorporated by reference in this application.											
NOTE: Where an appropriate time limit under 37 C.F.R. 1.494 or 1.495 has not been met, a petition to revive (37 C.F.R. 1.137(a) or (b)) must be filed and granted to restore the application to pending status.											
						Beeee					
NIXON & VANDERHYE 1100 North Glebe Road	P.C. 8 th Floor										
Arlington, Virginia 22201-4714											
Telephone: (703) 816-4000 H. Warren Burnam,											
NAME											
										2004	
					29,366		December 13, 2001				
L					REGIS	RATION NUMB	CH	Date			

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of

MARIOTTI et al

Atty. Ref.: 3573-11

Serial No. to be assigned

Group:

Filed: December 13, 2001

Examiner:

For: SYSTEM OF DIGITAL PHASE AND AMPLITUDE MODULATION (PSK/ASK)

Assistant Commissioner for Patents

Washington, DC 20231

Sir:

PRELIMINARY AMENDMENT

In order to place the above-identified application in better condition for examination, please amend the application as follows:

IN THE CLAIMS

Please amend claim 3 as follows: A copy of the amended claim showing current revisions is attached.

3. {AMENDED} Method of modulation as claimed in claim 1, which is provided by means of a circuitry comprising in cascade a bit source, a digital phase modulator (PSK) in baseband and, in a single block, a voltage controlled oscillator, a multiplier and a power amplifier. MARIOTTI et al Serial No. to be assigned

Please add new claim 4 as follows:

-- 4. {AMENDED} Method of modulation as claimed in claim 2, which is provided by means of a circuitry comprising in cascade a bit source, a digital phase modulator (PSK) in baseband and, in a single block, a voltage controlled oscillator, a multiplier and a power amplifier. --

REMARKS

The above amendments are made to place the claims in a more traditional format.

Attached hereto is a marked-up version of the changes made to the claims by the current amendment. The attached page(s) is captioned "Version With Markings To Show Changes Made."

Respectfully submitted,

NIXON & VANDERHYE P.C.

December 13, 2001

Bv:

H. Warren Burnam, Jr.

Reg. No. 29,366

HWB:lsh 1100 North Glebe Road, 8th Floor Arlington, VA 22201-4714 Telephone: (703) 816-4000 Facsimile: (703) 816-4100

- 2 -

MARIOTTI et al
Serial No. to be assigned

VERSION WITH MARKINGS TO SHOW CHANGES MADE

IN THE CLAIMS

3. {AMENDED} Method of modulation as claimed in [claims 1 and 2] <u>claim 1</u>, which is provided by means of a circuitry comprising in cascade a bit source [(1)], a digital phase modulator (PSK) [(2)] in baseband and, in a single block, a voltage controlled oscillator [(3)], a multiplier [(4)] and a power amplifier [(5)].

WO 00/77997

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"SYSTEM OF DIGITAL PHASE AND AMPLITUDE MODULATION (PSK/ASK)"

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FIELD OF THE INVENTION

This invention refers to a system of phase and amplitude modulation (PSK/ASK), which allows a significant improvement of the spectral efficiency, with a small increase of the complexity of construction.

Namely, this system provides a simple way to increase spectral efficiency (i.e. to increase bit rate with the same spectrum occupancy) with a minimum impact on transmitter complexity, allowing however a working point of the same very close to the saturation, and with small requirements on phase noise, with respect to the conventional linear RF transmitters, which utilise non-circular constellations of the type M-QASK.

STATE OF ART AND RELATED PROBLEMS

The linearity of the transmission chain - particularly in the last stage of said chain, which is the power amplifier (that should be allowed to work far enough from its saturation, i.e. to exhibit a sufficient output back-off to provide amplitude modulation) - and the stability of the RF oscillator are among the most severe requirements in mediumhigh capacity radio systems.

In a traditional system of quadrature amplitude modulation (QAM) or in a traditional system of amplitude and phase modulation (PSK/ASK) it is possible to achieve, by ensuring a very low RF distortion and a very low phase noise, to meet quality requirements (low bit error rate - BER) for the modern telecommunication networks. However, this causes design difficulties and, accordingly, high costs.

This invention aims at achieving the same results in a much more simple way, obtaining a high increase in the spectral efficiency, a high operation flexibility and a high reliability of the system performance. Since the invention

WO 00/77997 PCT/IB00/00786

2

requires a very small increase of system and hardware complexity, it also lowers the production costs.

SUMMARY OF THE INVENTION

With the above aims, this invention refers to a system of phase and amplitude modulation (PSK/ASK) of a single information flow, characterised in that a phase modulation in baseband and a RF frequency modulation are performed separately by using different portions of the same information flow as a modulating signal.

Preferably, a standard, digital phase modulation (PSK) is implemented in baseband in this system of modulation and the number of symbols or signals which form the constellation alphabet is increased by overlapping a digital amplitude modulation (ASK) which is synchronous with the bit flow, directly to a radiofrequency.

Advantageously, M discrete phase-shift levels in baseband and N discrete RF levels of amplitude can be used in the same system.

The system of modulation according to the invention is effectively provided by means of a circuitry comprising in cascade a bit source, a digital phase modulator (PSK) in baseband and, in a single block, a voltage controlled oscillator, a multiplier and a power amplifier.

BRIEF DESCRIPTION OF THE DRAWINGS

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The invention is now described in greater detail below, referring to the figures in the annexed drawing, wherein:

Fig. 1 is a block diagram showing the circuitry to provide the system of modulation according to the invention;

Fig. 2 shows an example of scheme or constellation, wherein the inventive system of modulation is realised, in the case of four phase levels and two amplitude levels;

Fig. 3 shows another constellation, which is similar to the previous one in Fig. 2, but wherein an additional RF phase shift by 90° is introduced; and

Figs 4 and 5 show two other examples of constellations according to the invention.

DESCRIPTION OF PREFERRED EMBODIMENTS OF THE INVENTION

The block diagram in Fig. 1 of the annexed drawings, showing a circuitry by means of which the inventive system of modulation is provided, comprises in cascade a bit source 1, a digital phase modulator (PSK) 2 in baseband and, in a single block, a voltage controlled oscillator 3, a multiplier 4 and a power amplifier 5.

A system of phase and amplitude modulation (PSK/ASK) of a single information flow is provided through the arrangement in Fig. 1, by separately performing a phase modulation in baseband in modulator 2 and an amplitude RF modulation in the block 3, 4, 5, by using discrete portions of the same information flow as modulating signal.

More precisely, a digital standard base modulation (PSK) is implemented in baseband and the number of symbols or signals constituting the costellation alphabet is incremented, by overlapping a digital amplitude modulation (ASK), that is synchronous to the bit flow, directly to RF.

M discrete levels of baseband phase-shift and N discrete levels of RF amplitude can be used in the inventive system of modulation, conveniently providing substantially circular costellations.

Referring to the diagram in Fig. 1, one can see that the inventive system of modulation does not need the implementation of a whole chain of linear transmission with a converter, but it is enough that the final RF amplifier 5 ensures the linearity needed to perform the amplitude modulation on N levels (i.e. provides a back-off which is enough to such a purpose).

If reference is made to the system of orthogonal coordinates in Figs. 2 and 3 in a bidimensional space, that is characterised by two linearly independent functions Y_1 and

WO 00/77997 PCT/IB00/00786

 Y_2 , it is to be noticed that any arbitrary function can be expressed as a linear combination of said two functions.

Therefore, the baseband signal can be expressed in the form:

 $s(t) = a_1 * Y_1 + a_2 * Y_2$

4

while the digital passband modulated signal can be written as:

 $s(t) = A(t) * cos [\omega_o t + \phi (t)]$

wherein ω_{o} is carrier frequency in rad/sec.

Amplitude A(t) and phase $\phi(t)$ can be easily expressed in terms of base independent functions Y_1 , Y_2 .

It is also possible to draw the modulated signal in a bidimensional space Y_1 , Y_2 .

Examples of the inventive system to increase channel capacity in the easy case of a baseband phase modulation and of a RF amplitude modulation are shown in the above Figs. 2 to 5.

Fig. 2 is a simple example of an inventive modulation scheme, with four phase levels and two amplitude levels. This constellation, which is substantially circular, can be provided by using the arrangement in Fig. 1, according to the invention.

A constellation similar to the one represented in Fig. 2 is shown in Fig. 3. It can also be provided by employing the arrangement of Fig. 1 according to the invention and an additional RF phase-shift by 90° is introduced therein. In this case, it is possible to increase the distance between the symbols, so as to improve the system features as for the bit error rate (BER).

Similarly, Figs. 4 and 5 are examples of substantially circular constellations, which are similar to the ones of Figs. 2 and 3 and can be provided according to the invention through a higher number of symbols or signals.

5

From above, it can be understood that this invention by separately performing a phase modulation in baseband (PSK) and a RF amplitude modulation (ASK) on the final amplifier, and by using different portions of the same information flow as modulated signal - allows to provide a non-linear transmission chain, up to the final stage. The required output back-off is just the one allowing a RF amplitude modulation; also the requirements on phase noise are closer to the ones of a simple system of phase modulation than to the ones of a linear system of quadrature amplitude modulation.

It is worth noting that - by using M levels of baseband phase-shift and N RF amplitude levels - it is possible to increase the spectral efficiency by a factor K = $(\log_2 N)/(\log_2 M)$.

Therefore, for instance, by a simple binary amplitude modulation, performed in RF, and with eight levels of baseband phase-shift, it is possible to double the number of signals from eight (3 bits/symbol) to sixteen (4 bits/symbol). An increase in spectral efficiency by 33% corresponds to that, however with a very small increase in system and hardware complexity.

Since phase and amplitude are orthogonal parameters in a modulated signal, phase modulation and demodulation amplitude modulation and demodulation can take place independently the one of the other. In case of a scheme of M-ASK/PSK, requirements of the portion of the system RF operating as for phase noise and amplitude linearity are less severe with respect to a traditional scheme of square constellation M-QASK. This increases reliability performance of the system according to the invention and reduces its production costs.

Flexibility is another important advantage of the inventive modulation system: it is possible to dynamically

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choose between the sole phase modulation (PSK) and a combination of phase and amplitude modulation (i.e. between PSK and PSK/ASK) with the same hardware, in order to dynamically balance spectral and power efficiency.

The kind of modulation can be advantageously developed in the future, since it is capable to operate directly from the baseband to radiofrequency, with no need of intermediate frequency conversions; it is virtually possible that a digital circuit and a RF microwave circuit are available, without an intermediate analog frequency.

As for demodulation, the system is still very simple: it is, indeed, enough to provide an envelope detector for recovery of amplitude information and a standard demodulator in baseband.

It is understood that embodiments and/or modifications of the system of amplitude and phase modulation other than the ones described are possible remaining in the scope of this invention. For instance, the voltage controlled oscillator 3 in the block diagram of Fig. 1 could be substituted through another member, apt to generate or to requencate the phase modulated signal.

WO 00/77997 PCT/IB00/00786

7

CLAIMS

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- 1. System of phase and amplitude modulation (PSK/ASK) of a single information flow, characterised in that a phase modulation in baseband and a RF frequency modulation are performed separately by using different portions of the same information flow as a modulating signal.
- 2. System of modulation as claimed in claim 1, wherein a standard, digital phase modulation (PSK) is implemented in baseband in this system of modulation and wherein the number of symbols or signals which form the constellation alphabet is increased by overlapping a digital amplitude modulation (ASK) which is synchronous with the bit flow, directly to a radiofrequency.
- 3. System of modulation as claimed in claim 1 and 2, wherein M discrete phase-shift levels in baseband and N discrete RF levels of amplitude can be used in the same system.
- 4. System of modulation as claimed in any claim 1 to 3, which is provided by means of a circuitry comprising in cascade a bit source (1), a digital phase modulator (PSK) (2) in baseband and, in a single block, a voltage controlled oscillator (3), a multiplier (4) and a power amplifier (5).

(12) INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

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(74) Agents: VATTI, Paolo et al.; Fumero Studio Consulenza Brevetti S.n.c., Via S. Agnese, 12, J-20123 Milan (IT).

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- (71) Applicant (for all designated States except US): TELE-FONAKTIEBOLAGET LM ERICSSON [SE/SE]; S-126 25 Stockholm (SE).
- IT, LU, MC, NL, PT, SE), OAPI patent (BF, BJ, CF, CG, CI, CM, GA, GN, GW, ML, MR, NE, SN, TD, TG).
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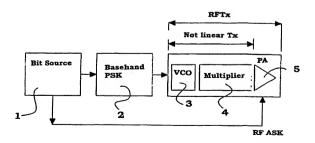
 With international search report.

(72) Inventors; and

(75) Inventors/Applicants (for US only): MARIOTTI, Marco [IT/IT]; Via Arzani, 32, I-15063 Cassano Spinola (IT), DE-CANIS, Carmelo [IT/IT]; Via Verri, 2B, I-27100 Pavia (IT).

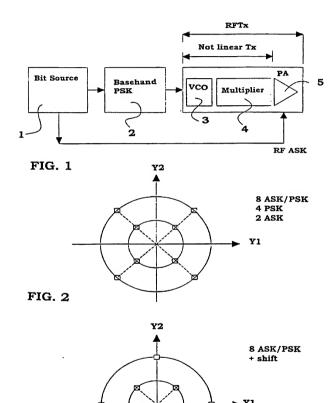
For two-letter codes and other abbreviations, refer to the "Guidance Notes on Codes and Abbreviations" appearing at the beginning of each regular issue of the PCT Gazette.

(54) Title: SYSTEM OF DIGITAL PHASE AND AMPLITUDE MODULATION (PSK/ASK)



66///00 OM

(57) Abstract: A phase modulation in baseband and an RF amplitude modulation are separately performed in a system of phase and amplitude modulation (PSK/ASK) of a single information flow, by utilising discrete portions of the same information flow as a modulating signal. Preferably, a digital, standard base modulation (PSK) is implemented in baseband and the number of symbols or signals constituting the constellation alphabet is increased, by overlapping an amplitude modulation synchronous with the bit stream, directly to radiofrequency.



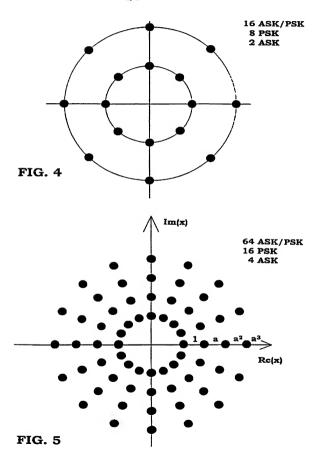
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FIG. 3



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Nixon & Vanderhye P.C. (12/95)

RULE 63 (37 C.F.R. 1.63) DECLARATION AND POWER OF ATTORNEY FOR PATENT APPLICATION IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

بالم

As a below named inventor. I hereby declare that my residence, post office address and citizenship are as stated below next to my name, and I believe I am the original, first and sole inventor (in only one name is lasted below) of the subject matter which is claimed and for which a patient is sought on the invention entired:

SYSTEM OF DISCIPLE PHASE AND AMPLITITIES MODIFIED TO 10 (PSK / ASK)

SYSTE	M OF DIGITAL PH	IASE AND AMPLITU	DE MODULATION	(PSK/ASK)		
	fication of which (check	applicable box(s)):				
	attached hereto is filed on Dece	ember 13, 2001	a-11 C A	ition Serial No. to	he eggianed	(Atty Dkt. No.3573-1
	s filed as PCT Internation		CT/IB00/00786	on		
		application) was amended			10,00,00	<u> </u>
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hereby :	state that I have reviewe	d and understand the con	tents of the above ident	ified specification in	cluding the claims	as amended by any
mendme	ent referred to above. I a	acknowledge the duty to o	lisclose information whi	ch is material to the	patentability of this	application in accordance with
37 C.F.R	. 1.56. I hereby claim for	reign priority benefits und	er 35 U.S.C. 119/365 of	any foreign applicat	ion(s) for patent or	inventor's certificate listed
					filing date before t	that of the application on which
	claimed or, if no priority oreign Application(s):	is claimed, before the filir	ig date of this application	n:		
	on Number 365 • 5		Country			Day/Month/Year Filed
99830	365.5		EUROPE			Day/Month/Year Filed
		5 U.S.C. §119(e) of any L			l below.	
Applicati	on Number		Date/Month/Year	Filed		
hereby o	claim the benefit under 3	5 U.S.C. 120/365 of all pr	or United States and P	CT international appl	lications listed abo	ve or below and, insofar as the
ubject m	atter of each of the clain	ns of this application is no	t disclosed in such prior	applications in the	manner provided b	y the first paragraph of 35
J.S.C. 11	2, I acknowledge the du	ty to disclose material info	ormation as defined in 3			the filing date of the prior
pplicatio	ns and the national or P	CT international filing date	e of this application:			
Prior II S	JPCT Application(s):					Status, natentas
	on Serial No.		Day/Month/Year	Filed		Status: patented pending, abandoned
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						attorneys thereof (of the same
ddress)	individually and collectiv	ely my attorneys to prose	cute this application and	to transact all busin	ness in the Patent	and Trademark Office
onnecte	d therewith and with the	resulting patent: Arthur I	R. Crawford, 25327; Lar	ry S. Nixon, 25640; I	Robert A. Vanderh	ye, 27076; James T. Hosmer,
DOODER	27393: Leonard C. Mitch	and 20009: Duane M B	vere 33363: leffry H N	es; Michael J. Keena	In, 3210b; Bryan H	Davidson, 30251; Stanley C. H. Warren Burnam, Jr. 29366
homas E	Byrne 32205: Mary J	Wilson 32955 - L Scott F	Davidson 33489: Alan N	1. Kagen 36178; Wi	lliam J. Griffin 312	60: Robert A. Molan, 29834;
						0; Michelle N. Lester, 32331;
rank P. I	Presta, 19828; Joseph S	. Presta, 35329.*				
\		Mareo	You Ki			12/20/201
. II)	Inventor's Signature: Inventor:		Maran	MARIOTT	Date:	12/04/001
120	inventor.	Marco (first)	MI	MARIUII (last		(citizenship)
١.	Residence: (city)	15063 CASSANO		(state/country)	'ITALY	(Guzonan)
	Post Office Address:	Via, Arzani 32,	CASSANO SPINO	JLÀ - ITALÝ -		
1	(Zip Code)	15063 CASSANO	SPINOLA - Ital	y /7	7/	
١.		C	a Deamis	, ,		0 02 10- 1
	Inventor's Signature:	, COULTING	D 19COULD		Date: 1	
$\sim \gamma_{\rm D}$	Inventor:	Carmelo- (first)	MI	DECAN (last		Italĭan (citizenship)
1	Residence: (city)	27100 PAVIA	WII		TALY	(Cittzeriamp)
U	Post Office Address:	Via Verri 2B	PAVIA - ITALY	_ ()		
	(Zip Code)	27100 PAVIA -	Italy	17\/		
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	Residence: (city)	(first)	MI	(last (state/country))	(citizenship)
	Post Office Address:			_ (siate/country)		
	(Zin Code)					

FOR ADDITIONAL INVENTORS, check box 🔲 and attach sheet with same information and signature and date for each.